

## **Annual Plan for OIST Promotion Cooperation FY2009**

In accordance with Article 31 of the General Principle Act for Independent Administrative Institutions (Act#103,1999), Okinawa Institute of Science and Technology Promotion Corporation (hereafter OIST P.C.) has established its Annual Plan FY2009, covering the period from April 1, 2009 to March 31, 2010, which is based on operations stipulated in its Medium-Term Plan..

### **1. Research and development (R&D) on science and technology**

(R&D activities)

The existing research units and newly created units will be supported to undertake novel, cutting edge research. In particular, new marine diversity and other genomic studies will be initiated, and additional genomic computational resources will be provided. Expanded cross disciplinary and shared resources will be established in Laboratory 1 on the new campus at Onna. Microscopy, analytical, computational, animal, radioisotopic, and other shared facilities will be constructed, equipped, and made operational. The layouts of laboratory spaces, desks, and social areas are designed to foster interactions among different units and research disciplines. Joint research agreements with other institutions will be implemented to expand the capabilities of OIST investigators and to enable outside investigators with suitable projects to share the use of the OIST facilities. In order to enhance common use of research equipment by external researchers, such as DNA sequencers owned by OIST, we will develop a "Research Equipment Usage Manual for External Researchers." For those OIST research units that reach the stage of scientific review, the most vigorous evaluation standards will be maintained by selecting outside review committee chairs with Nobel prize or equivalent stature, and members who are leading scientists in the PI's area of research.

(Recruitment of researchers)

In neuroscience we will carry out a broad search for PIs and Independent New Investigators in the area of non-human primate research. Our goal is to identify possibly 2 investigators this fiscal year. In structural cell biology we plan to hire one investigator. In environmental sciences with a focus on genomic analysis of marine systems, we will target adding one investigator. In genomic analysis and systems computational science our target is to add 2 investigators. We will

initiate a search for investigators in condensed matter physics using electron microscopy, although hiring is not expected until FY2010. In our overall researcher population we plan to continue to increase the ratio of international researchers toward 50%. As we build the academic and teaching capacity of our program we plan to complement our internal PI pool by introducing appointments for visiting lecturers and to make one such appointment. To expand our representation of independent young scientists we plan to hire two Independent New Investigators among the various investigator appointees. Preparations will be made to establish the fourth graduate committee, Environmental Sciences, in FY2010. PI and researcher searches will be advertised in leading international journals and circulated via the expanding community of participants in OIST courses, workshops and seminars. In addition, these searches will be conducted to secure full-time faculty members who can be a doctoral thesis supervisor. Applications will be reviewed by committees with appropriate expertise, supplemented with outside reviewers when necessary. International, gender, age, and research balance will be considered in making appointments. We will enhance logistics support for new researchers, especially international researchers and their families. Necessary steps will be taken for establishing a personnel policy in FY2009 for researchers and making it public pursuant to the Law concerning Effective Promotion of Research and Development and Enhancement of Research and Development Ability by Facilitating Reform in Research and Development System.

## **2. Publication of research results and promotion of their use**

The number of OIST publications in international journals and attendance at international scientific meetings will be increased. The regulations for management of intellectual property that were developed in 2008 will be implemented and researchers will be advised and trained in the proper use of the regulations. We will dedicate a staff member to handling joint research agreements, funded research and intellectual property and patents, which will expedite paperwork and enhance management. Efforts will be made to encourage industry to meet and collaborate with OIST investigators.

## **3. Training of researchers, enhancement of research skills and exchange of researchers**

To promote training and increase in research skills, we will renew MOUs for research and graduate training with the Nara Institute of Science and Technology and The University of the Ryukyus and will introduce 2 more MOUs, one domestic and one international. Regulations for accepting both domestic and international graduate students enrolled at other universities for doctoral research training in OIST laboratories will be implemented. Regulations for accepting domestic and international predoctoral students as short-term interns/trainees will be implemented in order to expand the foundation for recruiting doctoral research students. Regulations will be developed to govern joint research agreements between OIST and partner universities and institutes. An agreement will be implemented for OIST researchers to travel outside to an international institution to carry out joint research.

#### **4. Preparations for establishment of OIST**

Within FY2009 a primary goal will be to establish the basic elements of the academic and administrative appointments structure. This includes tenure, remuneration, benefits, retirement, and service obligations for performance evaluation. Based on our studies of other international graduate programs, we will prepare a recruiting plan that will include conditions required to be successful in the current highly competitive market for enrolling outstanding graduate students in science. Similarly, conditions will be established for recruiting outstanding faculty, including Independent New Investigators. OIST will provide the secretariat for the Founding Committee after Founding Committee members are appointed by the Minister. Information and research will be provided to assist the Founders in establishing the By-laws for the new University. To prepare the elements of the application for approval of the establishment of the new School Corporation and the new University, the OIST University Preparation Working Group will continue its development of the academic program for the new university based on the studies of other domestic and international graduate university programs and will complete this in sufficient detail to enable compilation of a draft on major items by March 2010 to apply for MEXT approval of the establishment. We will establish a Transition Team to enable introduction of an appropriate administrative structure well in advance of the opening of the graduate university.

#### **5. Effective public relations activities and transmission of information**

The OIST public website will be redesigned to provide more information in a more user-friendly interface. Access to different types of information for different users will be simplified so that academic, scientific, industrial, government, lay public, job-seeking, contractor, vendor, etc. users can find information easily. A standard database of contact and content information will be constructed to allow rapid and simple updating and correction. Images and text will provide current reports on the progress of campus construction and research.

Workshops, seminars, courses, and research publications will be presented on the website. E-mail lists of participants in OIST programs, other scientists, other research organizations, contractors, vendors, and the public will be established to improve outreach domestically and internationally. For research achievements by the Principal Investigators and their research units, as well as the academic development of OISTPC, we will 1) issue press releases and PR documents in a timely manner, 2) issue and widely distribute an annual report in June, and 3) issue regular newsletters. We will hold an annual open house event for the Okinawan community and will arrange PIs and administrative staff to visit schools and other settings to discuss the OIST research program and mission. In order to enhance our recruitment of outstanding researchers and students as well as to establish collaborative relationships with other international universities and research institutions and industry, we will make scientific and technical information about workshops and lectures available on our website and in publications. We will invite the press and external experts from home and abroad for an opinion session as part of our strategic information dissemination.

## **6. Enhancement of efficiency of organizational management**

Assignment of staff will be made on the basis of efficient use of each individual's time as the duties required continue to change as we introduce more computerization in the work flow and make other changes to enhance effectiveness. Assignments will be made based on clear and non-redundant lines of responsibility and provide necessary training and tools to enable employees to perform efficiently.

We will start the centralization of Human Resources for administrative positions including technicians and secretarial support staff from research units, and we will consider outsourcing non-core administrative business where we can obtain better expertise externally to enable us focus on our primary research and training objectives. We will introduce specialized HR assistance for

non-Japanese employees, especially during the hiring and relocation process.

#### **7. Appropriate and efficient budget enforcement**

We will make additional appointments in budget management and will review each budget holder quarterly to achieve on-time and efficient budget execution. We will develop segment-specific financial information reporting to provide greater transparency in our financial operations and make reports in regular Financial Statements. We will improve our financial control system so that we can more clearly obtain information both on funds spent and on funds committed during procurement.

#### **8. Compliance with appropriate tendering and contracting processes and enhancement of procurement efficiency**

To cope effectively with the growing complexity of the procurement procedures resulting from the increase of open competitive tenders, OIST PC will streamline the contracting process by concluding multi-year contracts whenever appropriate and by introducing Electronic Bidding for greater efficiency by autumn 2009. In general, contracts will be awarded through competitive tendering. For unavoidable special requirements, transparent and traceable auditing procedures will be carried out to verify the plan and fairness of the tendering.

#### **9. Adjustment of the salary level**

We will regularly review the level of administrative salaries as described in the Medium-Term Plan to monitor and if necessary make adjustments to the salary level consistent with the Plan for Restructuring and Streamlining Independent Administrative Institutions. At the same time we will improve working conditions to attract and retain outstanding professional employees.

#### **10. Effective use of the assets**

Fixed assets utilization will be monitored and planned to ensure effective management. Seaside House and the Faculty Housing will be managed according to the regulations that we have put in place to ensure responsible and effective use. A housing committee will be established to make recommendations about access and prioritization of housing occupancy. Similar management will be applied to other assets as they are constructed and

brought into service.

### **11. Implementation of measures for greater operational efficiency**

We will continue to enhance internal control and governance by examining the adequacy etc. of our tendering and contracting processes, budget execution and utilization of assets in our Auditors' Audit which will be conducted regularly in FY2009. To carry out internal review of our operations, we will have "Operations Assessment" meetings quarterly. Operations assessment will be based on an "Operations Review Report" submitted by OIST budget holders. Lessons from the meetings will be used as a guide to improve future operations.

### **12. Improvement of financial conditions**

Quantitative targets for acquisition of external funds in FY2009:

|                                  |         |
|----------------------------------|---------|
| Donation etc                     | 20M Yen |
| Competitive research grant       | 26M Yen |
| Revenues from sponsored research | 9M Yen  |

An employee will be assigned to support the development of independent funds acquisition, both by the central administration and by the principal investigators. We will investigate the procedure for establishing a foundation for the graduate university

### **13. Facilities and equipment**

The construction and lab fit out of the first phase of the Onna-son campus will be completed in time to occupy and open-Laboratory 1 and Center Building in FY2009. Construction of Laboratory 2 is expected to start. The principles of multidisciplinary and collaborative research will be emphasized in the design and layout of the laboratory space. The move of the research units from Uruma will be handled to minimize damage and down time for the PIs. Equipment and furniture in the new building will be selected on the basis of necessity and whether their quality will be maintained for a long time; and open, competitive bidding will be used. Development through public-private-partnership of housing and living support in the Village Zone on the campus will be initiated to permit completion at a time as close as possible to the completion of the laboratory facilities. The natural environment on the campus site will be protected while the laboratories are constructed and occupied.

#### **14. Personnel matters**

We will provide opportunities for young people including local students to work at OIST in an international environment, and we will recruit both mid-career professionals and fresh graduates in areas needed for the opening of the graduate university. We will continue secondment of experienced staff from other institutions, central and local governments, and private companies to assist and train our staff. For both research and administrative hiring, we will use major journals, special magazines and newspapers, websites and recruiting agencies to identify the best candidates. We will improve HR procedures by reviewing current processes and introducing a more efficient software system. We will provide job-related training to develop employees' specialties. Permanent staff assignments will be distributed in the organization to provide efficient operations and balance salary levels. Evaluation of employees will take into account performance and special contributions.

#### **15. Enhancement of the administrative structure**

We will review other similar international R&D institutions and begin to introduce successful management structures at OIST in areas such as financial management and HR intended to improve cost effectiveness and performance and to facilitate the implementation of international research projects at OIST.

#### **16. Social responsibilities**

(Compliance with laws, regulations, and codes of ethical conduct)

We will improve document control and enforce staff compliance with the related regulations. To facilitate compliance with Japanese laws and regulations, we will make bilingual documents available for international employees and researchers. We will hold seminars on scientific misconduct and on misconduct in the use of research funds by administrative staff and researchers by December 2009.

(Cooperation with the local community)

We will continue to consult and work closely with the prefectural government and local authorities. We will continue the visiting program for OIST researchers and staff to the various regions of Okinawa, including the Northern region of Okinawa Island and other islands in the Prefecture. We will hold an Open House, seminars, and other events for the citizens to help them to understand OIST and to foster a strong relationship with the local community.

(Environmental consideration)

OIST PC will use environmentally friendly products; increase the usage of recyclable products such as paper, rechargeable batteries and others. We will install solar panels in the new campus as a supplementary energy source.

(Creation of safe and friendly work environment)

We will take preventive measurements on safety through organized committees such as Safety & Health committee, and we will inform the managers and staff of each division/unit about the importance of safety & health management. We will improve access to health consultation by the OIST industrial physician. We also will provide employees information on preventing labor problems, such as power harassment or sexual harassment.

Annual Budget

FY2009

(¥ mil)

| Items  | Amounts |
|--|---------|
| Revenues   |         |
| Subsidy for Operation  | 5,718   |
| Subsidy for Construction   | 5,511   |
| Others   | 55      |
| Total  | 11,284  |
| Expenses   |         |
| Operating Expenses   | 4,829   |
| General Administrative Operating Expenses<br>(Excluding Personnel Expenses and Temporary<br>staff) | 565     |
| Personnel Expenses   | 379     |
| Construction Expenses  | 5,511   |
| Others   | -       |
| Total  | 11,284  |

【Notes】

- 1 . Due to rounding-off, a total amount and a sum of each item in the right column do not necessarily correspond to each other.

## Estimated Income Statement

FY2009

(¥ mil)

| Item   | Amounts |
|--|---------|
| Expenses   |         |
| Ordinary Expenses  | 5,090   |
| Operating Expenses   | 3,039   |
| General Administrative Expenses                              | 553     |
| Personnel Expenses   | 379     |
| Depreciation   | 1,119   |
| Financial Charges  | -       |
| Extraordinary Items  | -       |
| Revenues   |         |
| Subsidy for Operation  | 3,916   |
| Business Income, etc.  | 59      |
| Reversal of Assets Offsetting Operational<br>Expense Subsidy | 1,074   |
| Reversals of Assets Offsetting Contributions                 | 4       |
| Reversals of Assets Offsetting Donated<br>Assets             | 37      |
| Extraordinary Items  | 0       |
| Net Profit   | 0       |
| Reversal of Reserve for Specific Objectives                  | -       |
| Gross Profit   | 0       |

### 【Notes】

- 1 . Due to rounding-off, a total amount and a sum of each item in the right column do not necessarily correspond to each other.
- 2 . OIST PC pays retirement allowance in accordance with “Officer Retirement Allowance Payment Regulations” and “Employee Retirement Allowance Payment Regulations.” OIST PC projects the entire amount for the retirement allowance is financed by the subsidy for Operation.

## Estimated Cash Flow Statement

FY2009

(¥ mil)

| Items                                     | Amount |
|---|--------|
| Cash Outflow                              |        |
| Cash Outflow for Operation                | 3,971  |
| Cash Outflow for Investment               | 7,313  |
| Cash Outflow for Financing                | -      |
| Carry-over for the next period            | -      |
| Cash Inflow                               |        |
| Cash Inflow from Operation                | 5,773  |
| Cash Inflow from Subsidy for Operation    | 5,718  |
| Business Income, etc.                     | 55     |
| Cash Inflow from Investment               | 5,511  |
| Cash Inflow from Subsidy for Construction | 5,511  |
| Cash Inflow from Financing                | -      |
| Carry-over from the previous period       | -      |

**【Notes】**

1. Due to rounding-off, total amounts and sums of each item in both columns do not necessarily correspond to each other.